



**Department of General Services
Records Management Division**

**ELECTRONIC RECORDS INVENTORY WORKSHEET
PART ONE**

1. Department/Division		2. Allotment Code	3. Cost Center or Index Code
4. Contact Person	5. Systems Analyst	6. Date Completed	7. Telephone Number
8. System Title (include commonly used name of system and acronym, if applicable)			

DESCRIPTION OF ELECTRONIC RECORDS SERIES

9a. Electronic Record Series Title	b. RDA # Assigned <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, indicate RDA # _____ <input type="checkbox"/> Paper <input type="checkbox"/> Electronic	c. Indicate at which level system is used: <input type="checkbox"/> State <input type="checkbox"/> Department <input type="checkbox"/> Desktop
10. Description and Purpose of Records Series (Attach samples. Attach additional sheet for description, if needed)		

MEDIA CHARACTERISTICS

(to be completed by Information Systems)

HARDWARE ENVIRONMENT

11. List and describe equipment used to create and access record series. _____
12. Indicate the medium type in which the record series is maintained: _____
13. Indicate the physical size of the medium: _____
14. What is the medium recording capacity and density? _____
15. Where is medium stored? ☐ Office ☐ Data Center ☐ Warehouse ☐ Other location (specify) _____
16. Where is backup stored? _____
17. Frequency of backup: ☐ daily ☐ weekly ☐ monthly ☐ annually ☐ other(explain) _____
18. Is information archived off-line? ☐ yes ☐ no If yes, how often? _____ Where located? _____

SOFTWARE ENVIRONMENT

19. List software used to generate record series: _____
20. Database Software used ☐ DB2 Relational ☐ IMS/DB Version #: _____ ☐ other (specify) _____
☐ dBase ☐ Alpha IV ☐ FoxPro ☐ Access ☐ Q & A ☐ other (specify) _____ Version # _____
21. Software, Output Management utilized ☐ INFOPAC ☐ TOPS ☐ STARS ☐ AFP Advance Function Printing
☐ Microform ☐ Other (specify) _____
22. Indicate data format ☐ ASCII ☐ EBCDIC ☐ ORACLE ☐ SQL ☐ Other (specify) _____
23. Is there any supporting information? ☐ yes ☐ no ☐ manual files ☐ other (specify) _____
If yes, where is information maintained? _____

INSTRUCTIONS FOR COMPLETING ELECTRONIC RECORDS INVENTORY WORKSHEET
PART ONE

1. Enter the Department and Division who has ownership of the record series.
2. Enter the Division's five-digit allotment code.
3. Enter the Division's cost center number or index code.
4. List the name of a contact person if questions should arise about the records series on the Inventory Worksheet.
5. List the name of the Information Systems Analyst assigned to this electronic record series.
6. Indicate the date the Inventory Worksheet was completed.
7. Give the contact person's telephone number.
8. Give the commonly used name and acronym of the system, i.e., Tennessee On-line Purchase System (TOPS).
9.
 - a. Give the title or the name of the electronic record series being inventoried.
 - b. If an RDA number has been assigned to the corresponding paper/other media record series, indicate "yes" and the original RDA number. Check whether RDA is paper or electronic.
 - c. Indicate which best describes one of the followings system levels:

State - systems used state-wide

Department - systems unique to the department or division

Desktop - systems unique to the desktop or personal computer only.

10. Give a brief (approximately one paragraph) description and purpose of the electronic records series. Attach samples and additional pages as needed.
11. List and describe the equipment required to access and utilize the record series. The description may be a generic description. For example, an IBM-compatible microcomputer with 640K of random-access memory and a hard disk drive. However, some electronic record series can only be utilized with special devices. In such cases, brand and model names must be indicated.
12. Indicate the medium type in which the record series is maintained.
13. Indicate the physical size of the medium the record series is maintained.
14. Indicate the medium recording capacity and density from the following table:

360 kilobyte double-sided/double density (DS/DD) FOR 5.25 inch diskettes
QIC - 40 format for quarter - inch data cartridge
6.6 gigabytes for double-sided twelve-inch
6,250 bpi magnetic tape reels
write-once optical disk cartridges.
15. Indicate where medium is stored. If other location, specify where.
16. Name the facility where backup media is stored.
17. Indicate the frequency in which media is backed up. If other, specify.
18. Indicate if the record series is archived by checking the appropriate box.
19. List the software program used to generate the record series. Prewritten software packages, the publisher or procurement source should be indicated.
20. Indicate the database software and version number used to generate the record series by checking the appropriate box, if the database software is not listed check other and specify.
21. Indicate software, Output Management utilized to produce the output data for the record series by checking the appropriate box. If the software used is not listed check other and specify.
22. Indicate data and document coding method for the record series by checking the appropriate box.
23. Indicate if there is supporting information or data for the software by checking the appropriate box. If supporting information for the software is not listed, check "other" and specify. In addition, indicate where the supporting information is maintained.

NOTE: Part two of this form is to be completed for the system platform level the record series is generated and maintained, i.e., state-level system, department-level system or desktop-level system.

ELECTRONIC RECORDS INVENTORY WORKSHEET
PART TWO

Department/Division: _____	Record Series Title: _____
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RECORDS MANAGEMENT INFORMATION
(to be completed by Records Officer or Coordinator)

<p>1. What is the date range of the record series? (Indicate oldest & newest date: mm/yy) From ____ / ____ To ____ / ____</p> <p>2. What is the current number of tapes/cartridges/disks per records series? _____ What is the expected number of tape/cartridge/disk accumulation per year? _____</p> <p>3. Is the information shared with other state agencies or organizations outside the state? <input type="checkbox"/> yes <input type="checkbox"/> no If yes, list agencies and/or organization(s) _____</p> <p>4. Is data converted to paper or microform? <input type="checkbox"/> yes <input type="checkbox"/> no If yes, indicate the media _____</p> <p>5. Indicate data value(s) <input type="checkbox"/> Administrative <input type="checkbox"/> Fiscal <input type="checkbox"/> Legal <input type="checkbox"/> Historical</p> <p>6. Is the information subject to a fiscal audit? <input type="checkbox"/> yes <input type="checkbox"/> no If yes, indicate if required by <input type="checkbox"/> Federal <input type="checkbox"/> State or <input type="checkbox"/> Both</p> <p>7. Is the data maintained required by Federal or State statute? <input type="checkbox"/> yes <input type="checkbox"/> no</p> <p style="padding-left: 20px;">If yes, cite statute: TCA: _____ Retention Period: _____ and attach copy of statute: <input type="checkbox"/></p> <p style="padding-left: 20px;">CFR: _____ Retention Period: _____ and attach copy of statute: <input type="checkbox"/></p> <p style="padding-left: 20px;">Other _____</p>	<p>8. Is the data vital? <input type="checkbox"/> yes <input type="checkbox"/> no</p> <p>9. Is this information confidential? <input type="checkbox"/> yes <input type="checkbox"/> no If yes, cite statute stating confidentiality: _____</p> <p>10. How often is the data updated? _____ (daily, weekly, monthly, yearly)</p> <p>11. How often is the record series referenced? (indicate number of references) ____ Current year Ref./Monthly; ____ Past Year Ref./Monthly; ____ 2 thru 5 years Ref./Monthly; ____ Over 5 years Ref./Monthly</p> <p>12. This data may be determined to have historical value by Tennessee State Library and Archives. If so, can it be converted to ASCII? <input type="checkbox"/> yes <input type="checkbox"/> no If no, what other code for information interchange can be used? _____</p> <p>13. Recommended Disposition of record series: The files are to be cut off at the end of each <input type="checkbox"/> calendar year <input type="checkbox"/> fiscal year <input type="checkbox"/> other If other, specify _____ then, <input type="checkbox"/> maintain in agency ____ months ____ years, then; <input type="checkbox"/> convert to (indicate media): _____ <input type="checkbox"/> transfer to the State Records Center; Hold ____ years, then; <input type="checkbox"/> Destroy <input type="checkbox"/> Destroy after _____ <input type="checkbox"/> Destroy when _____ <input type="checkbox"/> Maintain permanently <input type="checkbox"/> Transfer to Tennessee State Library and Archives where records will be screened & evaluated for historical purposes. <input type="checkbox"/> Migrate tapes, cd's or other media every when software and hardware is upgraded or replaced. <input type="checkbox"/> Backup tape/copy disposition will follow State-Wide RDA #10115. <input type="checkbox"/> Other (specify) _____</p>
<p>14. Justify the recommended disposition as stated above:</p> <p>_____</p> <p>_____</p> <p>_____</p>	

This Inventory Worksheet has been reviewed and approved by the Records & Forms Review Committee.

Chairperson _____

Division Director _____

Records Officer _____

ISM Director _____

ELECTRONIC INVENTORY WORKSHEET
PART TWO

1. Indicate the beginning and ending (from and to) date range of the record series by completing the blanks. If the record series is still being created, use the word "current" for ending date.
2. Indicate the current number of tapes/cartridges/disks per record series. In addition, indicate the expected annual accumulation of tapes/cartridges/disks per record series.
3. Indicate if the record series information is shared with other organizations by checking the appropriate box(es) and listing the organization who shares the data.
4. Indicate if the record series is converted to paper or microform by checking the appropriate box
5. Indicate the type or types of values the record series has for your organization by checking the appropriate box(es).
6. Indicate if the record series is subject to state or federal (or both) audits by checking the appropriate box(es).
7. Indicate if the record series is required by federal or state statute and if so, cite the statute and the retention period in which the record series is to be maintained. Attach a copy of the statute to the worksheet.
8. Indicate if the record series is vital by checking the appropriate box.
9. Indicate if the record series is confidential by checking the appropriate box. If the record series is confidential, list the statute classifying the records series as confidential.
10. Indicate how often the record series is updated.
11. Indicate how often the record series is referenced.
12. In the review process of RDAs (Records Disposition Authorizations), Library and Archives may determine certain records as having historical value. If this is the case with this record series, indicate if the record series can be converted to ASCII prior to transferring the records series to Library and Archives by checking the appropriate box.
13. Recommended Disposition of records: This item on the inventory worksheet should reflect your Records and Forms Review Committee's recommendation for the disposition of the record series based on the value of the records and how long the records are needed to conduct state business and under what condition if any the records series is to be destroyed. Indicate how often the tapes, disks or other media are to be migrated. Indicate if backup tape/copy disposition will be followed per the State-wide RDA listed. Indicate when the record series is to be cut off by checking either calendar, fiscal or other (if other, specify) then indicate how long the record series is to remain in the agency after it is cut off by entering the appropriate information for month(s) and year(s). Indicate if the record series will be transferred to the State Records Center and for how long. Indicate if the record series can be destroyed at this point or indicate special instructions for the disposal of the records series.
14. State or justify the reason for the recommended disposition as stated in the above question.

After the completion and review of this inventory worksheet, it is to be signed by the Records and Forms Review Committee, Chairperson, the Division Director, Records Officer and the ISM Director.

GLOSSARY OF TERMS

3480 type tape	a cartridge format for half-inch magnetic tape intended as cartridge.
administrative value	defined as the importance or usefulness of records to assist the agency in performing its primary function.
archive	the act of transferring inactive electronic information to near-line or off-line storage.
ASCII	the American Standard Code for Information Interchange; widely utilized coding scheme which specifies bit patterns for computer-processable information.
Backup	Creating a copy of a computer file or data for use in case the original is lost, damaged or destroyed.
data file	a computer-processable file which stores quantitative values, possibly accompanied by textual information.
DB2 Relational	the IBM mainframe relational database management system.
DIF	DATA INTERCHANGE FORMAT; spreadsheet software package which can import or export files in the worksheet format. DIF was developed and popularized by Visicorp.
diskettes	platter-shaped magnetic recording media with flexible substrates; also termed floppy disks.
EBCDIC	Extended Binary Coded Decimal Interchange Code; a coding scheme specifies bit patterns for computer processable information.
electronic records	records that contain machine-readable, as opposed to human-readable, information.
FFT	FINAL-FORM TEXT document; a document with special print formatting codes to allow you to print the document with programs other than DW4 V2.
fiscal value	defined as the importance or usefulness of records in case of financial investigation or audit.
fixed magnetic disk	the most common type of hard disk drive. A magnetic disk drive with nonremovable, rigid platters.
historical value	defined as the importance or usefulness of records to document important past events.
image file	a file which contains computer-processable images.
IMS/DB	INFORMATION MANAGEMENT SYSTEM; The IMS/DB is a hierarchical database management system.
INFOPAC	an output management software used for Report Distribution; On-line Viewing and Archival/Retrieval.
inventory worksheet	a document used to monitor and measure the usefulness of records.
legal value	the importance or usefulness of records to comply with legal requirements for maintaining information or to provide protection for an agency or State in case of litigation or investigation.
media	objects on which data can be stored. Examples include floppy disks, cd-rom, hard disk and tapes.
medium	something (such as a magnetic disk) on which information may be stored.
nine-track tape	a magnetic tape containing information recorded in nine parallel tracks which run down the length of a ribbon of tape. Nine-track tape typically measures one-half inch in width and is wound around a reel.
record series	a group of similar or related records that are used and filed together as a unit. A record series is generally evaluated as a unit for determining the records retention period.
rewritable optical	type of optical disk which permits erasure and overwriting of previously recorded information.
RFT	REVISABLE-FORM TEXT: a form that documents are converted into before interchange can occur with other programs that support revisable form text.
source documents	paper documents which contain information to be converted to electronic records.
text file	a computer file which contains character-coded representations of letters of the alphabet, numeric digits, punctuation marks and other symbols encountered in typewritten documents. Text files may be created by word processing programs, electronic messaging programs or other computer software.
vital record	a record necessary to continue the operation of an agency in case of disaster or emergency.
working/active	Data or computer files currently in use.
write-once read many	(WORM) a type of optical disk in which information can be recorded once but can be read many times.